



Equity Brokers

DP ID

1	2	0	4	2	3	0	0
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Client ID

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Trading Code

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CLIENT REGISTRATION FORM



Online Account

Offline Account

Branch Name.....

Branch Code.....

Serial No.....



INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners /Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI): - List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): - List of documents admissible as Proof of Address:

(*Documents having an expiry date should be valid on the date of submission.)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/ Gazetted Officer/Notary, public/Elected representatives to the Legislative Assembly/ Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/ document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of Entity	Documentary Requirements
Corporate	<ul style="list-style-type: none"> <li style="width: 50%;">• Copy of the balance sheets for the last 2 financial years (to be submitted every year). <li style="width: 50%;">• Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. <li style="width: 50%;">• Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). <li style="width: 50%;">• Copies of the Memorandum and Articles of Association and certificate of incorporation. <li style="width: 50%;">• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. <li style="width: 50%;">• Copy of the Board Resolution for investment in securities market. <li style="width: 50%;">• Authorised signatories list with specimen signatures.
Partnership Firm	<ul style="list-style-type: none"> <li style="width: 50%;">• Copy of the balance sheets for the last 2 financial years (to be submitted every year). <li style="width: 50%;">• Certificate of registration (for registered partnership firms only). <li style="width: 50%;">• Copy of partnership deed. <li style="width: 50%;">• Authorised signatories list with specimen signatures. <li style="width: 50%;">• Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> <li style="width: 50%;">• Copy of the balance sheets for the last 2 financial years (to be submitted every year). <li style="width: 50%;">• Certificate of registration (for registered trust only). <li style="width: 50%;">• Copy of Trust deed. <li style="width: 50%;">• List of trustees certified by managing trustees/CA. <li style="width: 50%;">• Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> <li style="width: 50%;">• PAN of HUF. <li style="width: 50%;">• Deed of declaration of HUF/ List of coparceners. <li style="width: 50%;">• Bank pass-book/bank statement in the name of HUF. <li style="width: 50%;">• Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures
Army/ Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures
Registered Society	<ul style="list-style-type: none"> <li style="width: 50%;">• Copy of Registration Certificate under Societies Registration Act. <li style="width: 50%;">• List of Managing Committee members. <li style="width: 50%;">• Committee resolution for persons authorised to act as authorised signatories with specimen signatures. <li style="width: 50%;">• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

INSTRUCTIONS/ CHECK LIST (for filling additional information related to trading account)

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For Individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person verification. Further, considering the infeasibility of carrying out 'in-person' verification of the non-
5. For non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

INDEX OF DOCUMENTS

S. No.	Name of Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	K1-K3 T1-T3
2.	Rights and Obligations	Documents stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading)	T4-T7
3.	Risk Disclosure Document (RDD)	Documents detailing risks associated with dealing in the securities market	T8-T10
4.	Guidance Note	Documents detailing do's and don't's for trading on exchange, for the education of the investors.	T11
5.	Policies and Procedures	Documents describing significant policies and procedures of the stock broker	T12-T15
6.	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock Exchange(s).	T16

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

S. No.	Name of Document	Brief Significance of the Document	Page No.
7	Additional Information Related to Demat Account	A. Document capturing additional information for Demat Account (Individual / Non Individual)	D1-D5
		B. Depository Agreement	D6-D7
		C. Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL	D8-D9
		D. Authorisation for Electronic Notes, Format of Board Resolution	D10
		E. Schedule of Charges for Depository Services	D11
8	Letter of Authority	Authorisation to the Stock Broker by the Client	N1
9	Running Account Authorisation	Authorisation to the Stock Broker by the Client	N2
10	Verbal Order Acceptance Authorisation	Authorisation to the Stock Broker by the Client	N3
11	Pledge Authorisation	Authorisation to the Stock Broker by the Client	N3
12	Authorisation for Debiting Demat Account Operating Charges	Authorisation to the Stock Broker by the Client	N4
13	Declaration for Name Difference	Declaration to Stock Broker by the Client	N4
14	Authorisation for Lien & Set Off	Authorisation to the Stock Broker by the Client	N5
15	Declaration for Delivering Trade Confirmation Via SMS	Declaration to Stock Broker by the Client	N6
16	Format of Board Resolution	Format	N6
17	Declaration by Member of HUF	Declaration to Stock Broker by the Client	N7
18	Declaration by Sole Proprietor	Declaration to Stock Broker by the Client	N7
19	Declaration to be given by Partnership Firm on the Letter Head of the Firm	Declaration to Stock Broker by the Client	N8
20	Format of NOC letter to be submitted by Broker's / Exchange's Employee	Format	N8



RR EQUITY BROKERS PVT. LTD.

SEBI REGN NO.:			DATE
NSE	Cash	INB231219636	03 / 03 / 2005
NSE	F&O	INF231219636	02 / 03 / 2005
NSE	CD	INE231219636	13 / 05 / 2010
BSE	Cash	INB011219632	09 / 09 / 2005
MCX-SX	CD	INE261219636	30 / 09 / 2008
USE	CD	INE271219631	09 / 06 / 2010

Regd. Office : 55, 1st Floor Near Flyover, Neelam Chowk NIIT, Faridabad-121001

Phone: +91-129-2427367, 2427361

Corporate Office : 47, M.M. Road, Rani Jhansi Marg, Jhandewalan, New Delhi-110055

Phone: +91-11-23636363 / 23636362 Fax: +91-11-23636743

Website: www.rrfinance.com

Compliance Officer's Details

Name : Rakesh Gulati Phone No. : +91-9350316004
E-mail Id : rakeshgulati@rrfcl.com

CEO's Details

Name : Monojit Bose Phone No. : +91-11-23636363, 23636362
E-mail Id : monojitbose@rrfcl.com

Clearing Member Details for MCX-SX-CDS, USE, NSE-CDS and BSE Derivatives

Name : Globe Capital Market Limited
SEBI Regn. No. : MCX-SX -CDS INE 260663732
SEBI Regn. No. : USE INE 270663732
SEBI Regn. No. : NSE-CDS INE 230663732
SEBI Regn. No. : BSE Derivatives INF 010663731
Regd. Office : 609, Ansal Bhawan, 16, K. G. Marg, Connaught Place, New Delhi-110 001. (India)
Phone No. : +91-11-30412345 (30 Lines), Fax: +91-11-23720883, 91-11-23766739

For any grievance/dispute please contact RR Equity Brokers Pvt. Ltd. at the above address or email id- rrequity@rrfcl.com and Phone no. +91-11-23636362/63. In case not satisfied with the response, please contact the concerned exchange(s) at

Exchange Name	E-mail ID	Phone No.	
National Stock Exchange of India Ltd.	ignse@nse.co.in	011-23344313	Toll Free : 1800 2200 51
Bombay Stock Exchange Ltd.	issdelhi@bseindia.com	011-43007413	
MCX Stock Exchange Ltd.	investorcomplaints@mcx-sx.com	022-67318933	
United Stock Exchange Ltd.	investorcomplaints@useindia.com	011-43007413	

KNOW YOUR CLIENT (KYC) APPLICATION FORM
ANNEXURE-2

 Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

FOR INDIVIDUALS
PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

A. IDENTITY DETAILS

Name of the Applicant					
Father's/ Spouse Name					
Gender		Marital Status		Date of Birth	DD / MM / YYYY
Nationality		Status			
PAN		Unique Identification No. (UID)/Aadhaar (if any)			
Specify the proof of Identity submitted					

B. ADDRESS DETAILS

Address for Correspondence					
City/Town/Village		Pin Code		State	Country
Contact Details	Tel. (off)		Tel. (Res.)		Mobile No.
	Fax		E-mail Id		
Specify the proof of address submitted for correspondence address					
Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant)					
City/Town/Village		Pin Code		State	Country
Specify the proof of address submitted for permanent address					

C. OTHER DETAILS

Gross Annual Income Details (please specify) Income range per annum					
	or Net-worth as on (date) DD / MM / YYYY (Net worth should not be older than 1 year)				
Occupation (please tick any one and give brief details)					
Politically Exposed Person	Related to a Politically Exposed Person (PEP)				
Any other information					

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.



Signature of the Applicant

Date: DD / MM / YYYY

FOR OFFICE USE ONLY
 (Originals verified) True copies of documents received

 (Self-Attested) Self Certified Document copies received

Signature of the Authorised Signatory

Date : DD / MM / YYYY

Seal/Stamp of the intermediary

KNOW YOUR CLIENT (KYC) APPLICATION FORM

Please fill this form in **ENGLISH** and in **BLOCK**

FOR NON-INDIVIDUALS

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

LETTERS. A. IDENTITY DETAILS

Name of the Applicant			
Date of Incorporation	DD / MM / YYYY	Place of Incorporation	
Date of commencement of business	DD / MM / YYYY		
PAN		Registration No. (e.g. CIN)	
Status (Please Specify)			

B. ADDRESS DETAILS

Address for Correspondence					
City/Town/Village		Pin Code		State	Country
Contact Details	Tel. (off)		Tel. (Res.)		Mobile No.
	Fax		E-mail Id		
Specify the proof of address submitted for correspondence address					
Registered Address (if different from above)					
City/Town/Village		Pin Code		State	Country
Specify the proof of address submitted for registered address:					

C. OTHER DETAILS

Gross Annual Income Details (please specify : Income range per annum)	or Net-worth as on (date) DD / MM / YYYY	(Net worth should not be older than 1 year)
Name, Pan, Residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors		Annexure Attached
DIN/UID of Promoters/Partners/Karta and whole time directors		
Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/ Whole time Directors (give details): <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)		
Any other information		

DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be held liable for it. Date : DD / MM / YYYY	Name(s) of the Authorised Signatory	Signature of the Auth. Signatory
	1.	
	2.	
	3.	
	4.	

FOR OFFICE USE ONLY

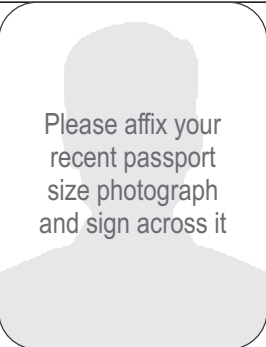
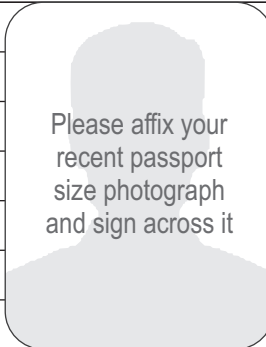
(Originals verified) True copies of documents received
 (Self-Attested) Self Certified Document copies received

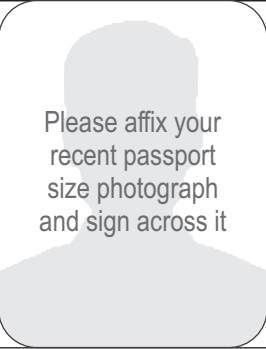
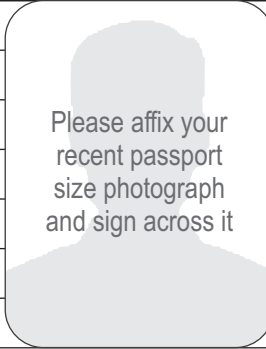
Signature of the Authorised Signatory

Date : DD / MM / YYYY

Seal/Stamp of the intermediary

Annexure for Promoters/Partners/Karta/Trustees/whole time directors and Authorised Person Details

		(1)	(2)
Name		 <p align="center">Please affix your recent passport size photograph and sign across it</p>	 <p align="center">Please affix your recent passport size photograph and sign across it</p>
Designation			
PAN			
Residential Address			
Contact No.			
DIN/UID			
Please tick if applicable	Politically Exposed Person (PEP)	Politically Exposed Person (PEP)	
	Related to a Politically Exposed Person (PEP)	Related to a Politically Exposed Person (PEP)	
Experience			

		(3)	(4)
Name		 <p align="center">Please affix your recent passport size photograph and sign across it</p>	 <p align="center">Please affix your recent passport size photograph and sign across it</p>
Designation			
PAN			
Residential Address			
Contact No.			
DIN/UID			
Please tick if applicable	Politically Exposed Person (PEP)	Politically Exposed Person (PEP)	
	Related to a Politically Exposed Person (PEP)	Related to a Politically Exposed Person (PEP)	
Experience			

NOTE : If any information required to be given does not fit in the space provided in the form, an Annexure may be used.

**ADDITIONAL INFORMATION RELATED TO TRADING ACCOUNT****ANNEXURE-3****FOR INDIVIDUAL & NON-INDIVIDUAL****A. BANK ACCOUNT(S) DETAILS**

Bank Name	Branch Address	Bank account No.	Account Type	MICR Number	IFSC Code

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)

C. TRADING PREFERENCES

* Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Exchange	Segments			
NSE	Cash	Sign. if applicable	**Currency Derivative	Sign. if applicable
	F&O	Sign. if applicable	MFSS	Sign. if applicable
BSE	Cash	Sign. if applicable	BSE StAR Mutual Fund	Sign. if applicable
	F&O	Sign. if applicable		
MCX-SX	Cash	Sign. if applicable	**Currency Derivative	Sign. if applicable
	F&O	Sign. if applicable		
USE		Sign. if applicable	**Currency Derivative	Sign. if applicable

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker. **Currency derivative segment include interest rate future.

D. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years, give details (attach annexure if required)

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

If client is dealing through the sub-broker, provide the following details:

Sub-broker's Name					
SEBI Registration Number					
Registered office address				PIN Code	
Website		Phone		Fax	
Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)					
Name of stock broker					
Name of Sub-Broker (if any)					
Client Code		Exchange			
Details of disputes/dues pending from/to such stock broker/sub-broker					

F. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)	
In case of ECN Specify your Email id	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)	
Number of years of Investment/Trading Experience	
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others (attach annexure if require)	Annexure Attached
Any other information	

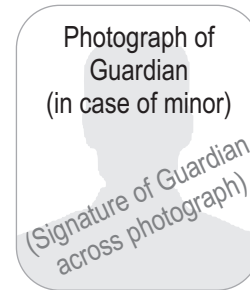
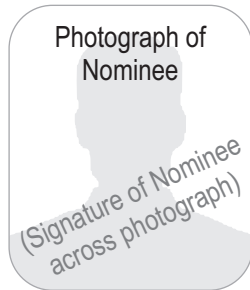
G. INTRODUCER DETAILS (optional)

Name of the Introducer				
Status of the Introducer	<input type="checkbox"/> Sub-broker	<input type="checkbox"/> Remisier	<input type="checkbox"/> Authorized Person	<input type="checkbox"/> Existing Client
	<input type="checkbox"/> Others (please specify):			
Address of the Introducer				
Phone No. of Introducer				
Signature of the Introducer				

H. NOMINATION DETAILS (for individuals only)

<input type="checkbox"/> I/We wish to nominate	<input type="checkbox"/> I/We do not wish to nominate
Name of the Nominee	
Relationship with the Nominee	PAN of Nominee
Date of Birth of Nominee	DD / MM / YYYY
Address of the Nominee	Phone No. of Nominee

If Nominee is a minor, details of guardian:			
Name of Guardian:			
Address of the Guardian:			
Phone No. of Guardian:		Signature of the Guardian:	



WITNESSES (Only applicable in case the account holder has made nomination)

Name		Name	
Signature		Signature	
Address		Address	

DECLARATION

- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
- I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Name(s) of the Authorised Signatory	Signature of the Authorised Signatory
1.	
2.	
3.	
4.	

Date: DD / MM / YYYY

FOR OFFICE USE ONLY

UCC Code allotted to the Client:

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients

Signature of the Authorised Signatory Date: Seal/Stamp of the stock broker

ADDITIONAL INFORMATION RELATED TO DEMAT ACCOUNT

 Date **D D M M Y Y Y Y** DP ID

1	2	0	4	2	3	0	0										
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

(Please fill all the details in CAPITAL LETTERS only)

I/We request you to open a depository account in my/our name:

Type of Account	
-----------------	--

SOLE/FIRST HOLDER'S DETAILS (needs to be filled in case account to be open in the name of Karta of HUF, Partners(s) of Partnership firm, Trustee of Un-registered Trust, Authorised person of AOP/Un-registered body)

Name			
Name of Father/Husband			
Local/Permanent Address			
		City	State
		Country	Pin code
Correspondence Address			
		City	State
		Country	Pin code
Address for Communication/Corporate Benefits (Default option is Local/Address)		<input type="checkbox"/> Local/Permanent Address	<input type="checkbox"/> Correspondence/Foreign Address
Phone No. (with STD/ISD Code)		Fax No.	
Mobile No.			
E-mail Id			
Occupation			

SECOND HOLDER'S DETAILS

Name			
Name of Father/Husband			
Address			
		City	State
		Country	Pin code
Phone No. (with STD/ISD Code)		Fax No.	
Mobile No.			
E-mail Id			
Occupation			

THIRD HOLDER'S DETAILS

Name			
Name of Father/Husband			
Address			
		City	State
		Country	Pin code
Phone No. (with STD/ISD Code)		Fax No.	
Mobile No.			
E-mail Id			
Occupation			

GUARDIAN DETAILS (IN CASE THE SOLE/FIRST HOLDER IS A MINOR)

Name			
Relationship with the applicant; if any			
Address			
		City	State
		Country	Pin code
Date of Birth (of minor)		D D M M Y Y Y Y	

IN CASE OF NRI's

Foreign Address			
		Pin code	
RBI Reference No.		RBI Approval Date	D D M M Y Y Y Y

STANDING INSTRUCTIONS

(Please tick whichever is applicable)

I/We authorise you to receive credits automatically into my/our account	
Account to be operated through Power of Attorney (POA)	

FINANCIAL DETAILS

	PAN / GIR No.	IT Circle / Ward / District No.
Second Holder		
Third Holder		
Guardian Details (if sole holder is minor)		

ADDITIONAL FINANCIAL DETAILS

Nature of Business	
--------------------	--

BANK DETAILS (Please submit copy of cancelled Cheque)

Bank Account No.		Bank Account Type	
Bank Name			
Branch Address			
	City	State	
	Country	Pin code	
Bank Code*			
*9 Digits Code No. of the Bank & Branch appearing on the MICR cheque issued by the Bank. MICR beginning with '0' are not valid.			
IFSC Code			

SMS ALERT FACILITY: (if yes fill mobile no. on relevant places.)

FIRST HOLDER	<input type="checkbox"/> Yes <input type="checkbox"/> No	SECOND HOLDER	<input type="checkbox"/> Yes <input type="checkbox"/> No	THIRD HOLDER	<input type="checkbox"/> Yes <input type="checkbox"/> No
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Please attach recent passport size photograph(s) in the space provide below :

Sole/First Holder	Second Holder	Third Holder

DECLARATION

The rules and regulations of the Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We also declare that the particulars given by us are true to the best of our knowledge as on the date of making such application. We further agree that any false or misleading information given by us or suppression of any material fact will render our account liable for termination and further action.

	NAME OF HOLDER(S)	SIGNATURE(S)
Sole/First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		
Guardian (Mr./Ms.) (in case Sole/First Holder is Minor)		

- Note :
- All communication shall be sent at the address of the Sole/First holder only.
 - Thumb impression and signatures other than Hindi or English or any of the other languages not contained in the 8th Schedule of Constitution of India must be attested by a Magistrate or a Notary Public or a Special Exchange Magistrate.

ADDITIONAL INFORMATION RELATED TO DEMAT ACCOUNT

RR Equity Brokers Pvt. Ltd.

DP : CENTRAL DEPOSITORY SERVICES (I) LIMITED | DPID : 12042300 DP SEBI Regn. No. IN-DP-CDSL-324-2005
 Corporate Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055 Tel.: +91-11-23636362-63 Fax : +91-11-23636744-43
 E-mail: equity@rrfcl.com Website : www.rrfinance.com

Dear Sir/Madam,

I/We the sole holder / Joint holders / guardian (in case of minor) hereby declare that:

I/We do not wish to nominate any one for this account.

[Strike out what is not applicable.] [Signatures of all account holders should be obtained on this Form]

I/We nominate the following person who is entitled to receive security balances lying in my/our account, particulars whereof of are given below, in the event of the death of the sold holder or the death of all joint holders

BO ACCOUNT DETAILS													
DP ID	1	2	0	4	2	3	0	0	Client Id				
Name of the Sole / First Holder													
Name of Second holder													
Name of Third holder													
Nominee Details													
First Name													
Middle Name													
Last Name													
Address													
City								State					
Country								PIN					
Telephone No.								Fax No.					
E-mail ID													
Relationship with BO (If any)													
Date of Birth (if nominee is a minor)													

As the nominee is a minor as on date, I/we appoint following person to act as Guardian:

Nominee details													
First Name													
Middle Name													
Last Name													
Address													
City								State					
Country								Pin					
Telephone No.								Fax No.					
Age													

to receive the securities in this account on behalf of the nominee in the event of the death of the sole holder / all Joint holders.

This nomination is in the accordance with the section 109A of the companies Act, 1956, and shall supersede any prior nomination made by me/us and also testamentary document executed by me / us. Place : _____ Date :

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature			

Note : Two witnesses shall attest signature(s) / thumb impression(s).

Details of the Witness

	First Witness	Second Witness
Name of witness		
Address of Witness		
Signature of Witness		

To be filled by DP

Nomination Form accepted and registered wide Registration No. _____ dated _____

For Depository Participant

(Authorised Signatory)

**ADDITIONAL INFORMATION RELATED TO CORPORATE / CLEARING MEMBER DEMAT ACCOUNT**

Date D D M M Y Y Y Y DP ID 1 2 0 4 2 3 0 0

(Please fill all the details in CAPITAL LETTERS only)

I/We request you to open a depository account in my/our name as per the following details:

OTHER HOLDER DETAILS

Second Holder Name			
Name of Father / Husband			
Correspondence Address (if different)	City		State
	Country		Pin code
	Telephone No. (with STD/ISD Code)		Fax
Mobile No.		Occupation	
E-mail Id			
Third Holder Name			
Name of Father / Husband			
Correspondence Address (if different)	City		State
	Country		Pin code
	Telephone No. (with STD/ISD Code)		Fax
Mobile No.		Occupation	
E-mail Id			

STANDING INSTRUCTIONS

(Please tick whichever is applicable)

I/We authorise you to receive credits automatically into my/our account	
Account to be operated through Power of Attorney (POA)	

FINANCIAL DETAILS

	PAN/GIR No.	IT Circle / Ward / District No.
Second Holder		
Third Holder		

ADDITIONAL FINANCIAL DETIALS

Nature of Business	
--------------------	--

BANK DETAILS

Bank Account No.		Bank Account Type	
Bank Name			
Branch Address	City		State
	Country		Pin Code
	Bank Code*		
*9 Digits Code No. of the Bank & Branch appearing on the MICR cheque issued by the Bank. MICR beginning with '0' are not valid.			
IFSC Code			

SMS ALERT FACILITY (if yes fill mobile no. on relevant places.)

FIRST HOLDER		SECOND HOLDER		THIRD HOLDER	
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IN CASE OF FIIs / OCBs / OTHERS (as may be applicable)

Foreign Address			
		Pin code	
RBI Reference No.		RBI Approval Date	
SEBI Registration No. (for FIIs)			
Address for communication/Corporate Benefits			
Default option is Registered Office Address			

CLEARING MEMBER DETAILS (To be filled up by Clearing Members only)

Name of Stock Exchange			
Name of Clearing Corporation			
Clearing Member ID		SEBI Regn. No.	
Trade Name			
CM BP-Id (To be filled up by participant)			

INTRODUCTION (by and existing account holder / applicant's bank)

DP ID :		Client ID	
(In case of existing account holder).			
I confirm the identity and address of the applicant(s)			
Name of Applicant(s)			

Signature of Introducer/Signature and Seal in case of Bank (To be verified by DP Official)

Please attach recent passport size photograph(s) in the space provided below :

Sole/First Holder	Second Holder	Third Holder

DECLARATION

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We also declare that the particulars given by us are true to the best of our knowledge as on the date of making such application. We further agree that any false or misleading information given by us or suppression of any material fact will render our account liable for termination and further action.

Mode of Operation for Sole/First Holder (In case of Joint holdings, all the Holders must sign)	
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AUTHORISED SIGNATORIES (ENCLOSE A BOARD RESOLUTION FOR AUTHORISED SIGNATORIES)

SOLE / FIRST HOLDER	NAME	SIGNATURE(S)
First Signatory		
Second Signatory		
Third Signatory		
OTHER HOLDERS	NAME	SIGNATURE(S)
Second Holder		
Third Holder		

RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), circulars / Notifications / Guidelines issued there under, Bye Laws and Business Rules / Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open / activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and / or Depository circulars / directions / notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each

of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.

10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and / or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and / or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws / Operating Instructions / Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI / depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In

such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,
1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing / Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
30. Any changes in the rights and obligations which are specified by SEBI / Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.



Signature of First Holder



Signature of Second Holder



Signature of Third Holder

RR Equity Brokers Pvt. Ltd.

DP : CENTRAL DEPOSITORY SERVICES (I) LIMITED | DPID : 12042300 DP SEBI Regn. No. IN-DP-CDSL-324-2005
Corporate Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055 Tel.: +91-11-23636362-63 Fax : +91-11-23636744-43
E-mail: equity@rrfcl.com Website : www.rrfinance.com

Terms and Conditions-Cum-Registration / Modification Form for receiving SMS Alerts from CDSL**Definitions :**

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its corporate office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of Dps who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability :

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository

for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts :

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO

and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.

- 8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
- 9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees :

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer :

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

DP ID	1	2	0	4	2	3	0	0
-------	---	---	---	---	---	---	---	---

BO ID									
-------	--	--	--	--	--	--	--	--	--

(Please write your 8 digit BO Id in CDSL)

Sole/First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile No. on which messages are to be sent

Please write only mobile no. without prefixing country code or zero)

The Mobile No. is registered in the Name of : _____

E-mail Id : _____
(Please write only ONE valid email Id on which communication; if any, is to be sent)



Sole/First Holder Signature



Second Holder Signature



Third Holder Signature

Place : _____

Date : _____ / _____ /20_____

In case of joint holding, all joint holders must sign



AUTHORISATION FOR ELECTRONIC NOTES

To,
RR Equity Brokers Pvt. Ltd.
Regd. Office : 55, 1st Floor Near Flyover, Neelam Chowk NIIT, Faridabad-121001
 Haryana- 121001 Phone: +91-129-2427367, 2427361
 Corporate Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
 Tel.: +91-11-23636362-63 Fax : +91-11-23636744-43
 E-mail: equity@rrfcl.com

Beneficial Owner (BO) Account No. _____

I/We _____ [name (s) of the BO (s)]
 has entered into agreement dated _____ with you at the time of opening of the aforesaid BO account.

Pursuant to the amendment in clause 3 of the agreement (Annexure C to the Bye Laws of CDSL), I/We confirm having opted to receive the statement of account pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.

I/We confirm that the dispatch of statement of account to me / us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me /us with statement of my/ our BO account. But, I/We reserve my / our right to receive the demand is made in writing on you.

[Email address: _____]

I/We confirm that any change in the aforesaid email address or any other instruction with regard to dispatch / service of my / our statement of account on me / us shall not be binding upon you unless you are intimated in writing by me/ us by acknowledged delivery.

Yours faithfully,

First Holder

Second Holder

Third Holder

FORMAT OF BOARD RESOLUTION ON THE LETTER HEAD OF THE COMPANY

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED BY THE BOARD OF DIRECTORS OF
 _____ HELD ON DAY _____ DATE _____ MONTH _____ YEAR
 20 _____ AT REGISTERED OFFICE OF THE COMPANY, AT _____

“RESOLVED THAT the consent of the company be and is hereby given to the Board of Directors to open Depository Account with RR Equity Brokers Private Limited, the Depository Participant, as per rules and regulations laid upon by CDSL.

RESOLVED FURTHER THAT Mr. _____ and Mr. _____ be and are hereby authorized by the Board to operate the aforesaid account singly or jointly and the said RR Equity Brokers Private Limited is authorized to honour all instructions issued by any of the Authorized Signatories so authorized in relation to the above account subject to the Rules and Regulation and Terms and Conditions agreed.

RESOLVED FURTHER THAT the aforesaid Mr. _____ and Mr. _____ be and are hereby singly or jointly authorized to sign/file/submit any form/document relating to the account to RR Equity Brokers Private Limited”

Certified true copy

For _____

Director

RR Equity Brokers Pvt. Ltd.

DP : CENTRAL DEPOSITORY SERVICES (I) LIMITED | DPID : 12042300 DP SEBI Regn. No. IN-DP-CDSL-324-2005
 Corporate Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055 Tel.: +91-11-23636362-63 Fax : +91-11-23636744-43
 E-mail: equity@rrfcl.com Website : www.rrfinance.com

SCHEDULE OF CHARGES FOR DEPOSITORY SERVICES

PARTICULARS	CHARGES
1. Account Maintenance Charges	₹ 200 per annum ₹ 1000 (Corporate) per annum. To be paid in advance
2. Demat Charges per request	₹ 25/-+ Courier Charges extra + ₹ 2/- per certificate
3. Remat & Re purchase per request	₹ 15/- per 100 securities or part quantity or ₹ 25/- per certificate whichever is higher
4. Transaction Charges - Market / Off Market / Inter depository (Delivery)	₹ 10/- (.22%) upto ₹ 25/- ₹ 25/- for Non RR Equity Clients (per transaction)
5. Pledge / Hypotheication - Creation / Closure / Invocation	₹ 25/- (per transaction)
6. Instruction Booklet	₹ 10/- for 10 leaves, ₹ 20/- for 20 leaves, ₹ 50/- for 50 leaves
7. Failed Instruction	₹ 30/-
8. Non periodic Statement / Additional Statement	₹ 50/-
9. Modification in Client Master	₹ 50/- (per request)

NOTES:

1. Minimum courier charges @ Rs. 25
2. In case of delays in the payments of charges, the demat account will be frozen for all operation till such time all dues are cleared subject to 30 days notice from the payment due date.
3. All instructions for transfer must be received in physical form from the clients upto 4.00 pm on "T+1" for pay in securities late instructions would be accepted if the account holder's sole risk and responsibility.
4. Charges are subject to revision at the companies sole discretion and as per revisions in CDSL charges and are subject to 30 days notice front the date of applicability.
5. All payment to be made in the name of RR Equity Brokers Pvt. Ltd. "Via a Cheque/DD payable at the local branch where the account is opened. Outstanding cheques will not be accepted.
6. Any advance payment over and above the normal amount due can also be made, Any such higher amount paid than the minimum amount payable at the time of account opening shall be adjusted against the bills raised from time to time.
8. Lieves and taxes will be charged as applicable

CHARGED OF NON-PAYMENT OF DUES :

Penalty and Interest charges	A penalty of 2% per month on the value outstanding on the bills after one month from the due date.
Non-Payment of bill after 30 days	The depository services for from the due date of the payment the account will be temporarily withdrawn. The renewal charges for resuming the depository operations will be Rs. 100 per account



Sole/First Holder Signature



Second Holder Signature



Third Holder Signature

In case of joint holding, all joint holders must sign

As prescribed by SEBI and Stock Exchanges

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as

they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter

authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of

securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/ circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all

possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.

41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT

(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/ Exchanges.

INTIMATION BY THE MEMBER FOR PROPRIETARY TRADING

Dear Constituent,

Under instruction of SEBI, The National Stock Exchange Ltd. (NSE) / Bombay Stock Exchange Ltd. (BSE) / MCX Stock Exchange Ltd. (MCX-SX), United Stock Exchange Ltd. (USE) has directed all its members to inform their clients whether they engage in proprietary trading in this regard we wish to inform you that we do engage in proprietary trading in the Cash, F&O Segment and Currency Derivatives Segment of NSE, Cash and F&O Segment of BSE & Currency Derivatives Segment of MCX-SX/USE.

Kindly take note of the above and oblige.

Thanking You

For **RR Equity Brokers Pvt. Ltd.**



Authorised Signatory

I/We have read the above letter.

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges/SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for

you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS:

1.1 Risk of Higher Volatility

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

1.3 Risk of Wider Spreads

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

1.4 Risk-reducing orders

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain

amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

1.4.1 A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6 Risk of Rumors

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.7 System Risk

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

1.7.1 During periods of volatility, on account of market participants continuously modifying

their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing":

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price

of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. GENERAL

- 4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.
- 4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.nseindia.com, www.bseindia.com, www.mcx-sx.com, www.useindia.com, www.dseindia.org.in and SEBI website www.sebi.gov.in.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on **stock exchanges' websites**, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the

retention of funds and securities and the details of the pledged shares, if any.

- c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
 15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges give a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

As per SEBI Circular No : MIRSD/SE/Cir-19/2009 Dated 3rd December, 2009

1. **Refusal of orders for penny stocks,**
 - a. The broker may from time to time limit (quantity/ value) / refuse orders in one or more securities due to various reasons including market liquidity, value of security (ies), the order being for securities which are not in the permitted list of the broker / exchange(s) / regulator. Provided further that broker may require compulsory settlement / advance payment of expected settlement value/delivery of securities for settlement prior to acceptance / placement of order(s) as well. The client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client alone.
 - b. The broker may require reconfirmation of orders, which are larger than that specified by the broker's risk management, and broker would have full discretion to reject the execution of such orders based on its risk perception.
2. **Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.**
 - a. The broker may from time to time impose and vary limits on the orders that the client can place through the broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the broker may need to vary or reduce the limits or impose new limits urgently on the basis of the broker's risk perception and other factors considered relevant by the broker including but not limited to limits on account of exchange/ regulatory directions/ limits (such as broker level/ market level limits in security specific / volume specific exposures etc.), and the broker may be unable to inform the client of such variation, reduction or imposition in advance. The broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the broker's trading system on account of any such variation, reduction or imposition of limits. Further the broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by broker / exchange/ regulator and any other reasons which the broker may deem appropriate in the circumstances. The losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.
 - b. The client is not entitled to trade without adequate margin / security and that it shall be his / her / its responsibility to ascertain beforehand the margin / security requirements for his / her /its orders / trades /deals and to ensure that the required margin / security is made available to the broker in such form and manner as may be required by the broker. If the client's order is executed despite a shortfall in the available margin, the client, shall, whether or not the broker intimates such short fall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he /she /it shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) &/ or any claim / loss/ damage arising out of the non-availability /shortage of margin /security required by the broker & / or exchange &/or regulator.
 - c. The broker is entitled to vary the form (i.e., the replacement of the margin / security in one form with the margin / security in any other form, say, in the form of money instead of shares) &/or quantum &/or percentage of the margin & / or security required to be deposited / made available, from time to time. The margin /security deposited by the client with the broker are not eligible for any interest unless specifically agreed to.
 - d. The broker is entitled to include /appropriate any /all pay out of funds & / or securities towards margin / security without requiring specific authorizations for each pay out. The broker is entitled to transfer funds &/ or securities from his account for one exchange & / or one segment of the exchange to his / her / its account for another exchange & / or another segment of the same exchange whenever applicable and found necessary by the broker. The client also agrees and authorises the broker to treat / adjust his / her/ its margin / security lying in one exchange & / or one segment of the exchange / towards the margin / security / pay in requirements of another exchange & / or another segment of the exchange.
 - e. The broker is entitled to disable / freeze the account & / or trading facility / any other service facility, if, in the opinion of the broker, the client has committed a crime / fraud or has acted in contradiction of this agreement or / is likely to evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the broker so apprehends.
3. **Applicable brokerage rate**
 - a. The broker is entitled to charge brokerage within the limits imposed by exchange which at present is as under:
 - i. The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market/ Futures/Currency and Interest rate futures segment of the Exchange shall be 2.5 % of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale / purchase value of a share is Rs.10/- or less in capital market segment, a maximum brokerage of 25 paise per share may be collected.
 - ii. Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract. It is hereby further clarified that brokerage on options contracts shall not exceed 2.5% of the premium amount or Rs.100/- (per lot) whichever is higher.

4. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws)

- a. Any amounts which are overdue from the client towards trading or on account of any other reason to the broker will be charged from the client with delayed payment charges at such rates as may be determined by the broker. The client should not indulge in trading activity which is against law, rules and regulations.
- b. Clients trading activity should not be aimed at disturbing market equilibrium or manipulating market prices etc. If the client does so, the broker may keep in abeyance the payout funds or securities till such time that the client has been able to clearly demonstrate that his actions were not malafide in any manner.
- c. The broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client. The client agrees to pay to the accept any payments in any form after such deadline for margin/security expires. Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund/ security or to meet the funds/margins/securities pay in obligations for the orders / trades / deals of the client within the prescribed time and form, the broker shall have the right without any further notice or communication to the client to take any one or more of the following steps:
 - i. To with hold any payout of funds/ securities.
 - ii. To with hold /disable the trading / dealing facility to the client.
 - iii. To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which the broker may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities which are pending delivery/receipt.
 - iv. To liquidate / square off partially or fully the position of sale & / or purchase in any one or more securities / contracts in such manner and at such rate which the broker may decide in its absolute discretion.
 - v. To take any other steps which in the given circumstances, the broker may deem fit. The client agrees that the loss(s) if any, on account of any one or more steps as enumerated herein above being taken by the broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the broker.

6. Shortages in obligations arising out of internal netting of trades

- a. The broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the broker from the exchange, the clearing corporation/ clearing house or other company or

entity liable to make the payment and the client has fulfilled his / her/ its obligations first. The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- b. The short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Pay-in/Payout Day. The securities delivered short are purchased from market on T+3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
- c. If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T+3 day or Auction day on Exchange +10%. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
- d. In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure /record date, would be compulsorily closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

7. Temporarily suspending or closing a client's account at the client's request, and

The client may request the broker to temporarily suspend his account, broker may do so subject to client accepting / adhering to conditions imposed by broker including but not limited to settlement of account and/ or other obligation. The broker can withhold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

8. Deregistering a client.

Not with standing anything to the contrary stated in the client broker documents, the broker shall be entitled to suspend the account of client with immediate effect and if need be deregister the client in any of the following circumstances:

- i. If the actions of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal /proper functioning of the market, either alone or in conjunction with others.
- ii. If there is any commencement of a legal process against the client under any law in force;
- iii. On the death/lunacy or other disability of the client;
- iv. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the client;
- v. If the client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- vi. If the client being a partnership firm, has any steps taken

- by the client and/ or its partners for dissolution of the partnership;
- vii. If the client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
 - viii. If the client has made any material misrepresentation of facts, Including (without limitation) In relation to the Security;
 - ix. If there is reasonable apprehension that the client Is unable to pay Its debts or the client has admitted Its Inability to pay its debts, as they become payable;
 - x. If the client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the broker;
 - xi. If the client is in breach of any term, condition or covenant with the broker.
 - xii. If any covenant or warranty of the client is incorrect or untrue in any material respect;
- 9. Other significant policies and procedures**
- a. Proprietary Trading**
The broker do undertake proprietary trading.
 - b. Trading Related**
 - i. The relationship being established between the client and the broker shall be that of principal and agent and the broker shall be the agent of the client. The client is required to make independent enquiries and satisfy himself that he is entitled to enter into the broker client relationship with the broker in the jurisdiction in which the client resides.
 - ii. The broker recommends that client places orders in writing and takes acknowledgement as per the format available from the broker, so as to avoid any future disputes. The client may also choose to place orders verbally (by visiting the branch or through telephone), through e-mail, SMSs and /or through Internet based trading terminal which can be provided to the client upon requirement of client. The client may authorize his authorized representative to carry out the above whose orders shall be binding on the client.
 - iii. The broker advises that it is preferable that client gives orders on the day the client desires trades, including orders for modification/cancellation, which the broker will punch in the trading system on a best efforts basis. However if client chooses to give orders in aftermarket hours than upon specific instruction of the client the broker may attempt to enter them in the trading system on the next trading day however it may not be possible in all instances to do so.
 - iv. Orders given by client may or may not result in trades and the client should continuously monitor the final outcome of the order. Where orders have resulted in trades the same may or may not result in delivery and the client should continuously monitor his pay in / payout obligations.
 - v. No employee, sub broker, director or any other agent of the broker is authorized to give any assurances of profits, or to manage the account of the client in any discretionary manner. The client must make his own decisions regarding suitability of orders/investments and if need be rely upon his own independent advisers whether in matters of orders/trades or in the matters relating to taxation etc. Accordingly the client should not enter into any personal/private mutual understanding with any employee, sub broker, director or any other agent of the broker.
- vi. The broker uses trading platforms such as ODIN/ Fast Trade etc. which are exchange approved however there is no guarantee/warranty that these are bug / glitch free and the client may in rare occasions suffer losses which he should keep in mind while dealing through the broker.
 - vii. Where prima-facie it appears that trading system is suffering from some problems such as incorrect positions being shown etc. the client should refrain from trading and immediately bring the problem to the notice of the broker and act only after the problem has been resolved. If broker or any other clients suffer on account of actions of the client in such situations the client will be liable to make good the losses suffered by broker or other clients.
 - viii. The broker may tape record conversations of the client over telephone/in person however the broker shall not be obliged to do so and absence of availability of recordings shall not render any order/transaction unenforceable against the client, inasmuch as the orders can be placed over mobile phones, through visiting the branch and the recorded orders are also liable to damage/erasure on account of virus/capacity overrun of the machine.
 - ix. As a measure of risk containment the broker may subject orders of the client to prior risk control assessment (such as checking availability of margin) before allowing the same to go into the trading system
 - x. The broker may provide market research through e-mail, SMSs, website, printed material or through discussions however the same is provided without any warranty or guarantee or suitability for the client and is provided on an as is where is basis and broker recommends that client may get the same examined through his personal financial/legal advisers as deemed fit. The facilities/data/research shall be provided to client on as is where is basis only for personal use and all rights in the same shall exclusively rest with the broker, and client is not entitled to share it whether for consideration or otherwise with any third party without a formal written authorisation by the broker. In the event of a breach the broker shall be entitled to bring legal action against the client.
 - xi. The broker issues contract notes with the order number and trade number and therefore shall not be providing order confirmation and trade confirmation slips to the client.
 - xii. The broker may send various information such as, documents, bills, margin statements, statement of accounts etc., to the client through any one or more of the following means i.e. post, registered post, speed post, courier, telegram, , voice mail, SMS, telephone, messages on trading platform, through word of mouth by the agents of the broker, by displaying it on the website of the broker or making it available as a download from the website of the broker, displaying it on the notice board of the branch, newspaper advertisements or if circumstances so require, by broadcast over radio/television and where the client has provided email address, then these informations may also be sent by the broker through email. The service providers such as postal authorities, Courier Company, phone / SMS service providers etc., shall be agents of the client and the

delivery of the information shall be complete when the broker delivers the communications to such service providers.

- xiii. The client should review all information sent to the client including contract notes etc. immediately upon receipt and revert the discrepancy if any (including if any trades in the account are not as per client directions / orders) within 48 hours of the receipt of the same to allow the broker to take remedial steps if any are possible.
 - xiv. The broker may pledge the securities of client lying with it as margin/collateral with third parties such as banks etc. to meet settlement / margin obligation.
 - xv. The client shall forthwith cease trading and inform the broker in the event the client becomes ineligible to deal with the broker on account of any court, exchange or regulatory action.
 - xvi. The broker shall be entitled to disseminate information about defaults made by the client to third parties.
 - xvii. The client shall not work as a sub broker/authorised person without prior written permission of the broker and only after seeking appropriate registration with respective registering authorities.
 - xviii. The client shall also not deal through the broker of an exchange of which the client himself is a member / Sub Broker / Authorised Person.
 - xix. The broker shall be entitled to maintain combined/ collective books of accounts of the client across exchanges and/or other services such as depositories etc.
 - xx. The client shall maintain a regular watch on his account including on his margin/collateral and ensure payment well before the due dates so that the broker may not be required to liquidate/close out any margin/open positions.
 - xxi. The records as provided by the broker through contract notes, bills, statement of accounts, statement of margin etc. shall be the official records to determine the obligations of broker and the client. Printouts taken from trading system or any such downloads etc. which are taken by the client from trading system may not give the correct picture and therefore shall not be the official record which bind the broker and the client.
 - xxii. The client shall upgrade to the newer versions of trading software/back-office software etc. on account of changes made by the broker and/or any other service provider like depositories/Banks.
 - xxiii. The existence of broker client relationship does not imply that broker is liable to provide each and every service to the client, and services may not be provided in case the client does not fulfill the necessary conditions for the same.
 - xxiv. Where the client chooses to clear his trades through Professional Clearing Member (PCM) , then the broker shall revert such trades as are not confirmed by the PCM to the client who shall be then liable to not only pay all the margins on the same but to also settle the same.
- c. Payment related
- i. The broker may debit charges for other services such as

depository, charges on account of dishonour of cheques, charges for issuance of demand drafts, NEFT/RTGS, SMS charges, research report charges, minimum processing fee charges etc. to the client's account.

- ii. The broker does not accept cash and in no event should the client make any payments to the broker, broker's employees, broker's sub-broker/authorised persons and/or any agent of broker by cash.
- iii. The client must make payments from his own bank account through a bank instrument. The broker may demand a proof that the payments are being made by the client from his own account without which the Broker may not give credit to the client. In case of Demand Drafts, following may be required:
 - iv. Certificate from the issuing bank on its letter head or on a plain paper with the seal of the issuing bank.
 - v. Copy of the passbook/bank statement for the account debited to issue the instrument duly certified by the Bank. Please ensure that copy of the passbook/bank statement clearly reflects that amount has been debited for the purpose of issuing of prefunded instruments in favor of RR Equity Brokers Pvt. Ltd.
 - vi. The client should never leave any blank instrument(s) such as cheques / depository instruction slips (DIS) etc. with broker or broker's employees, broker's sub-broker/authorised persons and/or any agent of broker. The broker shall not be responsible for their misuse.
 - vii. The broker shall make delivery of funds/securities to the client only after the same has been received from the exchange/clearing corporation/clearing house /the delivering client.

d. Corporate Action

- i. The client may keep securities with broker for ease of payments/margin, however, the broker shall not be liable to apply for and receive benefits of corporate action on the same and the client shall be solely responsible to get these transferred to his personal demat account to receive the corporate benefits. Broker, in exceptional circumstances, upon specific written request, may attempt to seek corporate benefits for and on behalf of the client while keeping the custody of securities with its own self, however the same shall be without any warranty/guarantee that the corporate benefits shall be received. The client shall also provide funds and application etc. well in time to allow the broker to take necessary action.
- ii. Where any corporate benefits come into the broker's account, upon any written request / agreed settlement procedures the same shall be held as part of existing margin/collateral, and shall be released to the client upon written request.
- iii. The contract specifications may undergo changes because of corporate actions (such as shares split etc.) /directions by exchanges, and the client should actively monitor his open positions and take necessary actions to avoid any losses on account of any such changes.

Client confirms having read & accepted the terms & conditions of this document titled “**Policies and Procedure**” inter-alia comprising **clauses 1 to 9** and agrees to be bound by all of them including those excluding/limiting the broker's liabilities.

Client Signature



POLICY ON IMPOSITION OF DELAYED PAYMENT CHARGES

The clients are required to settle the pay-in / provide margin within the time limits provided by Exchanges / SEBI/RREB's risk management system. In case the client fails to provide the same within the prescribed time, delayed payment charges shall be levied on the client's account on any delayed payments towards trading either in the cash or derivatives segments or on account of any other reason beyond the due date of payment as may be prescribed by RREB.

As per the current policy of RREB, Delayed payment charges shall be levied if the payment against the trade / payment obligations is not received on the settlement date till the clear credit is received in the client's account towards the trade / payment obligations.

The DPC is calculated at the prevailing rates of interest from time to time subject to maximum 2% per month. While calculating the delayed payment charges the system considers both working as well as non-working days. This will be in addition to the rights of RREB to initiate the necessary risk management actions on the client's outstanding in terms Risk Management Policies. Excess positions are squared on T+7th Day depending on the risk profile of the client / portfolio.

Such delayed payment charges shall be directly debited to the account of the Client at the end of every month. This is only a penal measure and to bring in discipline to the clients to clear the dues in time as RREB has to clear its obligations to the Exchange as per the time limits set by the Exchanges.

POLICY REGARDING TREATMENT OF INACTIVE ACCOUNTS

INACTIVE ACCOUNT

Where no transaction has taken place in client's account (Trading/Demat) during the last 6 months from the date of last transaction, then it will be considered as inactive / dormant account.

CONSEQUENCES OF INACTIVE ACCOUNT

On a client being declared inactive,

- (1) The client's funds and security account shall be settled.
- (2) In case the demat account/bank account details are not available and the client is not contactable, the securities/funds are transferred into a separate account of RR Equity Brokers Private Limited and held till such time.
- (3) The account of the client shall be locked and the client shall not be permitted to execute a fresh transaction in

the account.

CLIENT DECLARED INACTIVE VOLUNTARILY

A client may write to RREB stating that he wishes to transfer his account into an “inactive” status, based on which the account will be marked as such.

CLIENT DECLARED INACTIVE BY PASSAGE OF TIME

Any client who has not traded continually for a period of 5 years and has also not renewed his running account authorization for 5 continuous years will automatically be moved to the “inactive” category.

CLIENT DECLARED INACTIVE BY LAW

Any client will be moved to the “inactive” category if required by law.

PROCEDURE TO ACTIVATE THE LOCKED CLIENT ACCOUNT

1. An e-mail request to reactive the account and process the transaction. Such e-mail request shall be sent only from the e-mail id of the Client registered with RREB; or
2. A written request to reactive the account and process the transaction duly signed by Client and submitted to RREB; or
3. A telephonic request to reactive the account and process the transaction. Such telephonic request shall be at the specified number of RREB for which voice recording is active. Further the request shall be processed only after the client provides additional identification as required.

DEBIT TRANSACTION IN DORMANT DEMAT ACCOUNTS:

The Demat accounts wherein no debit transaction had taken place for a continuous period of 6(six) months shall be flagged as Dormant/Inactive accounts. Additional due diligence would be observed over and above the normal verification procedure while processing any debit transactions in such accounts. The transaction shall also be verified with the BO in case of high value debits and the details of the process, date, time, etc., of the verification on the instruction slip shall be recorded under the signature of a Senior Official.

The above stated policy may vary depending on various rules, regulations and bye laws as may be prescribed by SEBI, exchanges or any other authority or as per Internal Policy of RREB from time to time. This Policy for dormant accounts is over and above the transaction monitoring in Dormant Account as per Anti Money Laundering Policy of the Company.

This document is part of Policy and Procedures forming mandatory part of KYC

Client Signature





TARIFF SHEET (Subject to Change without Notice)
CASH SEGMENT

Brokerage Slab	Slab %	Minimum Paise	One Side / Both Side
Delivery Based			
Daily Square Up			

DERIVATIVES SEGMENT

Brokerage Slab	Slab %	Minimum Paise / Per Lot	One Side / Both Side
Future			
Option			

CURRENCY DERIVATIVES SEGMENT

Brokerage Slab in % Per Lot (in ₹)	Minimum Brokerage Per Lot

MUTUAL FUNDS

Brokerage Slab	Slab %	Minimum Paise
Delivery Based		

*Transaction Charges, STT, Stamp Duty, Demat Charges, Penalty on Delayed Payments, Service Tax and Other Govt. Levies are extra.

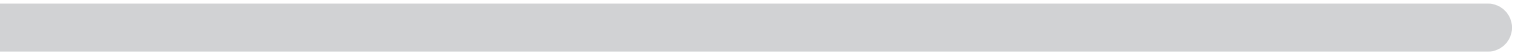
Signature

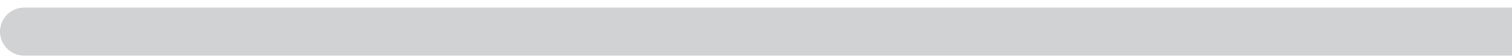
For Client opting for online application based facility

- I wish to avail ODIN DIET Client (application based) online trading facility and ready to pay ₹300/- p.m. subscription fees per exchange per segment and authorize you to debit the subscription fees as applicable to my trading account for availing the said facility. I further agree / accept that subscription fees will not be debited in my account if I generate a brokerage of ₹3000/- p.m. per segment (for which online facility is availed). In case of auto renewal of opted facility I authorize you to debit the subscription fees as applicable from time to time.

Signature

NON-MANDATORY
DOCUMENTS







LETTER OF AUTHORITY

To,
RR Equity Brokers Pvt. Ltd.
 Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
 Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Client Name:
 Client Code:

Dear Sir,

I/We have been regularly trading and investing or plan to do so, with you at the Bombay Stock Exchange (BSE) / National Stock Exchange of India Ltd. (NSE) / MCX Stock Exchange Ltd. (MCX-SX) / United Stock Exchange Ltd. (USE), (Cash / Futures & Options Segment / Currency Derivative). To facilitate ease of operations, I/

We request and authorize you as under:

- I/We hereby authorize you to setoff outstanding in any of our accounts against credits available or arising in any other accounts maintained by you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and / or against the value of cash margin or collateral shares provided to you by us.
- I/We hereby authorize you not to provide me/us other Confirmation/ Modification/ Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contracts notes issued by you.
- I/ we hereby authorize you to keep all the securities which we give you in margin including the payout of securities received by us for meeting margin / other obligation in stock exchange in whatever manner which may include pledging of shares in favour of bank and / or taking loan against the same of meeting margin / pay-in obligation on our behalf or for giving the same as margin to the Stock Exchange or otherwise.
- I / We request you to retain credit balance in any of my / our account and to use the idle funds towards our margin / future obligations at any or both the exchanges unless I / We instruct otherwise. I / We also authorize you to debit the necessary demat charge from time to time, for keeping the shares in your client demat beneficiary account on my / our behalf. I / We also authorize you to debit the financial charges @% p.m. for the debit balances, if any, in my / our account and not settled as per the exchange requirements.
- Cheque return / reverse charges will be levied @ minimum ₹
- I / We request you to retain Securities in your demat account for my / our margin / future obligations at all Exchanges, unless I/We instruct you to transfer the same to my / our account.
- I / We request you to consider my / our telephonic instructions for order placing / order modifications / order cancellation as a written instruction and give me / us all the confirmation on telephone unless instructed otherwise in writing. I / We/ am are getting required details from contracts issued by you.
- I / We request that you may send / dispatch me / us contract notes other documents through E-mail: on my /our designated E-mail address of
 We will completely rely on the log reports of our dispatching software as a conclusive proof of dispatch of e-mail to me / us and will not dispute the same.
- I/We agree that you may refuse to execute any particulars transaction without assigning any reason therefore.
- I / we will inform you the change in my / our e-mail, if any, in future either by registered post or through a digitally signed e-mail.

Thanking you,

Signature

Date



RUNNING ACCOUNT AUTHORISATION

To,
RR Equity Brokers Pvt. Ltd.
 Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
 Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

I/We have been / shall be dealing through you as my/our broker on the Capital Market and/ or Futures & Options Segments/Currency Derivative Segments, I / we further authorize you to follow these instruction across exchanges & across segments in which I / we have already opened accounts with you or I may open account in future. As my/our broker i.e. agent I/ we direct and authorize you to carry out trading/ dealings on my/our behalf as per instructions given below.

I/am/We are aware that you and I/we have the option to deliver securities/ make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives / regulations/ circulars, issued by exchange/ regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our securities and monies as margin / collateral without which we cannot deal/trade.

Therefore I /we hereby direct and authorise you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive securities/ funds in settlement of trades/ dealings please keep the securities and monies with you and make credit entries for the same in running accounts of securities and funds maintained by you. Further, the funds & securities can be transferred from one segment to other and from one exchange to another as per the requirements. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/ trading. You are authorize to do these acts across all exchanges & segments in which I / we have been / shall be dealing with you.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the client demat ledger (register of securities) displaying all receipts/deliveries of funds/securities. Please explain in the statement(s) being sent the retention of funds/securities and the details of the pledge, if any.

Signature 

Please further note that I am entitled to revoke this authorisation at any time.

My/Our preference for actual settlement of funds and securities is at least:

- Once in a Calendar Quarter Once in a Calendar Month

Thanking you,

Yours faithfully,

Signature 

Client Name

Date

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

VERBAL ORDER ACCEPTANCE AUTHORISATION

To,
RR Equity Brokers Pvt. Ltd.
Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

I/We have been / shall be dealing through you as my / our broker on the Capital Market, Mutual Fund and/or Futures & Options Segments / Currency Derivative Segments. This instruction is applicable for all the exchanges / segments in which I / We have opted to open the account with you. As my / our broker i.e. agent I / we direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below.

As I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my / my authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) under the plea that same were not under mine/our instructions. I/We agree that I/We will not have the right to shift the burden of proof by asking you to prove the placement of orders through telephone recording or otherwise

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

Thanking you,
Yours faithfully,

Signature Client Name
Date

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

PLEDGE AUTHORISATION

To,
RR Equity Brokers Pvt. Ltd.
Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

I/we have been / shall be dealing through you as my broker on the Capital Market and/ or Futures & Options Segments/Currency Derivative Segments. This instruction is applicable for all the exchanges / segments in which I / We have opted to open the account with you. As my broker i.e. agent I/we direct and authorize you as under.

Pledge /deposit my/our securities whether deposited as collateral/margin or permitted by us to be retained in the running account etc. by you with any person(s) including but not limited to anyone or more bank(s) and/or stock exchange(s) and/or clearing corporation(s) / clearing house(s) or any other person. You may at your absolute discretion raise funds, obtain bank guarantee(s) and FDRs etc. against such deposit/ pledge. I/ we authorise you to do in my/our name and on my/our behalf all such acts, deeds and things as may be necessary and expedient for placing pledging / depositing my/our securities with a person of your choice. If for any reason the pledgee sells / liquidates these securities I/we shall not dispute or contest the acts of pledgee in any manner what so ever. Please treat this authorization as written ratification of my / our verbal directions / authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

Thanking you,
Yours faithfully,

Signature Client Name
Date

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]



AUTHORISATION FOR DEBITING DEMAT ACCOUNT OPERATING CHARGES

To,
RR Equity Brokers Pvt. Ltd.
 Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
 Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

I/We have been/shall be dealing through you as my/our broker on the Capital Market and/or Futures & Options Segment. As my Broker, i.e. agent, I/we authorize you to debit my/our account against the charges raised by you on account of Depository Services Provided by you or by on account of Depository Services Provided by them and bill raised by them in this regard. The details of Demat account(s) are as follows:

DEPOSITORY	DEPOSITORY PARTICIPANT	BENEFICIARY ACCOUNT
<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL		
<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL		
<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL		
<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL		

Thanking you
 Yours faithfully

Signature  Client Name

Date - -

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

DECLARATION FOR NAME DIFFERENCE

To,
RR Equity Brokers Pvt. Ltd.
 Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
 Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

I, Mr. / Mrs. / Ms....., state and declare that I am also known as..... and many of my official records bear my name as.....

I say that I desire to open a trading account with you under the name and style of....., although the documents submitted by me are bearing my name as.....

I request you therefore to open the account with your company on my aforesaid representation as per the form duly filled in by me and accept the documents furnished by me in support thereof. I agree to abide by all the terms & conditions of the company as are applicable for the opening and operation of the said account.

I state that without prejudice to the company's rights, other rights in law or under the terms & conditions or otherwise, I shall be liable to pay damages and compensation to the company, which may be incurred or suffered by the company upon the company opening the said account as requested by me relying on my aforesaid representation.

Thanking you
 Yours faithfully

Signature  Client Name

Date - -

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]



AUTHORISATION FOR LIEN & SET-OFF

Client Code Date : - -

Name

To **RR Equity Brokers Pvt. Ltd.** Address

[Member of the Bombay Stock Exchange Ltd. (BSE)]

[Member of the National Stock Exchange of India Limited (NSE)] PIN Code

[Member of the MCX Stock Exchange Limited (MCX-SX)]

[Member of the United Stock Exchange of India Ltd. (USE)]

[Member of the National Stock Exchange of India Ltd. Currency Futures (NSE-Currency Futures)]

47 M M ROAD, Rani Jhansi Marg, Jhandewalan, New Delhi 110055

RR Commodity Brokers Pvt. Ltd.

[Member of the Multi Commodity Exchange of India Limited (MCX)]

National Commodity & Derivatives Exchange Limited (NCDEX)

National Spot Exchange of India Limited (NSEL)

47 M M ROAD, Rani Jhansi Marg, Jhandewalan, New Delhi 110055

(hereinafter referred jointly as RR)

Dear Sir,

Sub : Right to exercise Set-off / Lien

I/We,, an individual / a sole proprietary concern/ a partnership firm / a body corporate/Trust, registered / incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956 or any relevant Act, having my / our residence / registered office at..... (hereinafter referred to as the "Client").

That I/we, am/are a Client of/intend to be a Client of RR Equity Brokers Pvt. Ltd. and/or RR Commodity Brokers Pvt. Ltd. (jointly referred to as RR) and have completed the prescribed necessary account opening formalities with each of the aforesaid company/ies for investing/trading in securities, currency derivatives and/or commodities admitted/permited for dealing on the respective Exchanges and also for investing/trading in those contracts admitted/permited for dealing on the Derivatives/Currency Derivatives Market Segment of the respective Exchanges.

That in respect to my/our registration as client with RR, I/we hereby authorise RR to exercise the right to set off the balances in my/our accounts with RR in any segment/exchange with respect to monies, securities, currency derivatives contracts and/or commodities. All monies, securities or other property, which RR may hold on my/our account, shall be held subject to a general lien for the discharge of my/our obligations to RR under the broker-client relationship. The right of lien and set-off conferred to RR by me/us are as follows:

1. All securities in the demat account opened (if any) with the depository Participant shall be subject to lien for the discharge of any or all payments due to RR from me/us or any other obligations to RR and may be held by RR as a security against default by me/us in respect of the services already availed of by me/us from RR.
2. The enforcement of the lien aforementioned shall be at the sole and complete discretion of RR.
3. I/We agree that RR shall have the right of set-off amongst all trading account/(s) maintained by me/us with RR.
4. The right to set-off as aforesaid shall extend to my /our trading accounts with respect to all broking transactions with associated concerns, affiliates or sister concerns of RR as though such accounts are maintained with RR.

Furthermore, the aforesaid lien/set-off conferred on RR shall subsist even after the termination of the aforesaid relationship as client with RR until all obligations under the said broker-client relationship are satisfied fully by me/us. The said right of lien/ set-off shall be exercised by RR jointly and/or, severally by each of the aforesaid companies.

Thanking you,

Yours faithfully,

Signature

Client Name

Date - -



DECLARATION FOR DELIVERING TRADE CONFIRMATIONS VIA SMS

To,
RR Equity Brokers Pvt. Ltd.
 Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
 Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

I/We hereby agree and give my/our consent for sending the trade confirmations via SMS and I/We have also understood that we will not receive the telephonic trade confirmations.

For this purpose, I/We would like to confirm following details for the database maintained with you. Please update the records with the same.

MOBILE No.

Thanking you,

Yours faithfully,

Signature

Client Name

Date - -

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

FORMAT OF BOARD RESOLUTION TO BE FURNISHED ON LETTER HEAD OF THE COMPANY

CERTIFIED TRUE COPY OF RESOLUTION PASSED IN THE MEETING OF BOARD OF DIRECTORS OF M/s ABC LTD. HELD ON _____ DAY _____ OF _____ 20 ____ AT REGISTERED OFFICE OF THE COMPANY.

“RESOLVED THAT a trading account in the name of M/s ABC Ltd. be opened with RR Equity Brokers Pvt. Ltd., a company registered under the Companies Act, 1956 and a member of the National Stock Exchange of India Ltd. (NSE), Bombay Stock Exchange Ltd. (BSE) and MCX Stock Exchange Ltd. (MCX-SX) having its registered office at 133A, 13th Floor, Mittal Towers, Nariman Point, Mumbai-400 021, for the purpose of dealing in Capital Market segment, Futures and Options segment or any other segment that may be introduced by NSE/BSE/MCX-SX.

“RESOLVED FURTHER THAT Mr. X, director of the Company whose specimen signatures are attested below be and is hereby authorized on behalf of the company to complete Client Registration form, execute Member client Agreement and all other documents as may be deemed expedient to open and maintain trading account with RR Equity Brokers Pvt. Ltd. and give effect to this resolution Mr. X is authorized to sell, purchase, transfer, endorse and/or otherwise deal through RR Equity Brokers Pvt. Ltd.

“RESOLVED FURTHER THAT this resolution be communicated to the RR Equity Brokers Pvt. Ltd. and remain in force until notice in writing be given to the RR Equity Brokers Pvt. Ltd.”

For ABC Ltd.

Specimen Signatures of the Authorized person		
Sr. No.	Name	Specimen Signatures
1.		
2.		

Chairman/Director

DECLARATION BY MEMBER OF HUFTo, **FOR TRADING & DP ACCOUNT** Date - - **RR Equity Brokers Pvt. Ltd.**

Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055 Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

As our HUF firm wishes to open an account with you in the said name
 we beg to say that the first signatory to this letter, i.e.,
 is the Karta of the Joint Family and other signatories are the adult co-parceners of the said family.

We further confirm that the business of the said joint family is carried on mainly by the said Karta as also by the other signatories hereto in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims due to the NSE/BSE/MCX-SX/USE/CDSL from all or any of us and also for the entire family properties of which the first signatory is the Karta, including the share of minor co-parceners. In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952, we have not got our said firm registered under the said Act. We hereby undertake to inform the NSE/BSE/MCX-SX/USE/DP of the death or birth of a co-parcener of any change occurring at any time in the membership of our joint family during the currency of the account.

Signature Client Name

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

Name & Signature of Adult Co-parceners (Use Annexure of Additional Members)

Sl. No.	Name	Signature
1.	_____	<input type="text"/>
2.	_____	<input type="text"/>
3.	_____	<input type="text"/>

Name & Date of Birth of Minor - Co-parceners

Sl. No.	Name	Date of Birth
1.	_____	<input type="text"/> <input type="text"/> <input type="text"/>
2.	_____	<input type="text"/> <input type="text"/> <input type="text"/>
3.	_____	<input type="text"/> <input type="text"/> <input type="text"/>

DECLARATION BY SOLE PROPRIETOR(To be Obtained on Pre-Printed Letter Head of the Firm) Date - - To, **RR Equity Brokers Pvt. Ltd.**

Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055 Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

I refer to the trading account opened with you in the name of _____ and declare and authorize you as under:

I recognize that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, I authorize you to recognize the beneficiary account no. _____ with the depository _____ opened in the name of the undersigned who is the sole proprietor of the firm.

I agree that the obligation for shares purchased and/or sold by the firm will be handled and completed through transfer (s) to/from the above mentioned account. I recognize and accept transfer made by you to the aforesaid beneficiary account as completion of obligations by you in respect of trade executed in the above trading account of the firm.

Further I, the undersigned, am the sole proprietor of the firm and am solely responsible for the liabilities thereof. I shall advise you in writing of any change that take place in the constitution of the firm and will be personally liable to you for all the obligation that the firm may incur in the course of dealings with you and undertake to personally discharge such liabilities.

*The cheques/DDs (electronic/physical) shall be issued by me from my individual account with any bank and the amounts so given shall be solely/exclusively for credit to the account of my sole proprietorship firm M/s . _____ with your company.

Thanking you,
Yours faithfully,Signature Client Name



DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM ON LETTER HEAD OF THE FIRM

To,
RR Equity Brokers Pvt. Ltd.
Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

We refer to the trading account being opened / opened with you in the name of
and declare and authorise you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per applicable law. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorise you to recognize the beneficiary account No. with depository opened as a joint account in the names of partners of the firm.

We agree that the obligations for shares purchased and / or sold by the firm will be handled and completed through transfer to / from the above mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

We hereby authorize, partner in the firm to execute / sign and submit such documents, agreements, deeds etc. as may be necessary to enter into the agreement and engage in business with RR Equity Brokers Pvt. Ltd. and to place order for buying and selling of securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter for adjustment of balances in family accounts.

Name of Partners (in BLOCK LETTERS)	Signature

FORMAT OF NOC LETTER TO BE SUBMITTED BY BROKER'S / EXCHANGE'S EMPLOYEE

To,
RR Equity Brokers Pvt. Ltd.
Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

This is to state that S/o/D/o
R/o.....
..... is employee with this company and we have no objection if the said person opens an account for trading purpose with your company.

Thanking you,

Yours faithfully,

Signature Client Name

Date - -



AUTHORIZATION FOR SHARING PERSONAL INFORMATION

RR Equity Brokers Pvt. Ltd.

Registered Office: 55, 1st Floor, Near Flyover Neelam Chowk, NIIT, Faridabad - 121001

Phone: 0129-2427367, 2427361

Sir,

I/We have been /shall be dealing through you as my broker on the Capital market and/or future & options segments/ currency Derivative Segments.

I/we want to make investments in Mutual funds, initial public offerings/ follow on public offerings, rights issue, fixed deposit(s), money market instruments and other products / services etc. and generally to invest in various avenues / products and to redeem / liquidate any investments and want to give you effect to my / our desires / requirements. In view of the foregoing I / we authorize you to share my / our personal an other information with third parties including your group / related entities so as to receive offers and information on various products / services etc. and I / we agree that any offers / information received shall not be contested on grounds of address / phone included in national do not call registry or any other such restrictive regulations / laws.

Thanking you

Your Faithfully,

Signature:

Client Name





AUTHORISATION FOR INSTRUCTIONS BY THIRD PERSON

RR Equity Brokers Pvt. Ltd.

Registered Office: 55, 1st Floor, Near Flyover Neelam Chowk, NIIT, Faridabad - 121001
Phone: 0129-2427367, 2427361

Sir,

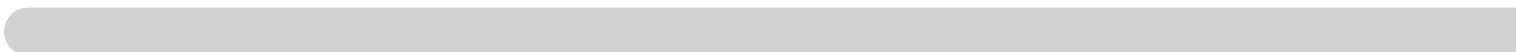
I / we authorize Mr. / Ms.to deal/transact on my / our behalf and to place orders, give instructions, make and receive payments of securities and monies, collect contract notes, bills, order confirmations, trade confirmations, account statements and any other documents or communication, to sign any document, settle the account, enter into any compromise and to do any and all act(s) on my / our behalf which I /we can do. And I / we do hereby agree and declare and confirm that all the acts and things done by the above named or his / her substitutes shall be my / our own acts, deeds and things validly done by me / us to all intents and purposes.

Thanking you,

Your faithfully,

Signature:

Client Name





RR EQUITY BROKERS PVT. LTD. Serial No.

DEPOSITORY DIVISION

ELECTRONIC CLEARING SERVICE (DEBIT CLEARING)MANDATE FORM

- 1. D.P. A/c. No.
- 2. Name :
- 3. Bank Name :
- a) Branch Name :
- b) 9-Digit MICR Code* :
- c) Account Type S.B.A/c.(Code 10) Current A/c (Code 11)
 Cash Credit (Code 13)
- D) Ledger No./Folio No. _____
- Account No. _____

*Appearing on the MICR Cheque issued by the Bank (Please attach the Photocopy of a Cheque or a blank cancelled cheque Issued by your bank for verifying the accuracy of the Code Number) I, hereby, declare that the particulars given above are correct and complete. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information. I would not hold the user institution responsible. I hereby agree to discharge the responsibility expected of me as a participant under the scheme.

Date : _____ Signature of the applicant(s)

BANK CERTIFICATION (Not required if photocopy of the cheque is enclosed).
Certified that the particulars furnished above are correct as per our records.

Bank's Stamp :

Date : _____
Signature of the Authorised Bank Official

(Please Tear Here)



RR EQUITY BROKERS PVT. LTD. Serial No.

DEPOSITORY DIVISION

ELECTRONIC CLEARING SERVICE (DEBIT CLEARING)MANDATE FORM

- 1. D.P. A/c. No.
- 2. Name :
- 3. Bank Name :
- a) Branch Name :
- b) 9-Digit MICR Code* :
- c) Account Type S.B.A/c.(Code 10) Current A/c (Code 11)
 Cash Credit (Code 13)
- D) Ledger No./Folio No. _____
- Account No. _____

*Appearing on the MICR Cheque issued by the Bank (Please attach the Photocopy of a Cheque or a blank cancelled cheque Issued by your bank for verifying the accuracy of the Code Number) I, hereby, declare that the particulars given above are correct and complete. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information. I would not hold the user institution responsible. I hereby agree to discharge the responsibility expected of me as a participant under the scheme.

Date : _____ Signature of the applicant(s)

BANK CERTIFICATION (Not required if photocopy of the cheque is enclosed).
Certified that the particulars furnished above are correct as per our records.

Bank's Stamp :

Date : _____
Signature of the Authorised Bank Official

AUTHORISATION TO BANK FOR DEBITING THE ACCOUNT

To,
The Branch Manager

Dear Sir,
I/We _____ residing at

maintain a _____ Account No. _____
with your branch.

I/We hereby authorised the Bank to debit all types of commission / fees ('Service Charges') payable by me / us and charged by RR Equity Brokers Pvt. Ltd. through the ECS (Debit Clearing) facility to my bank account with you. I/We undertake the sufficient balances shall be maintained by me/us, so that the right of the Bank to debit the Service Charges is not impaired. I/We hereby undertake not to revoke this authority without the written approval from the Bank.

SIGNED at _____ (Place), this _____ (day),
of _____ (month), _____ (Year)

Signature _____ Name _____

Signature _____ Name _____

Signature _____ Name _____

(A/c holder's Signature should be the same as in bank A/c. In case of joint account both the holder must sign the mandate form)

AUTHORISATION TO BANK FOR DEBITING THE ACCOUNT

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SIGNED at _____ (Place), this _____ (day),
of _____ (month), _____ (Year)

Signature _____ Name _____

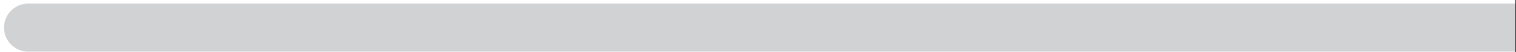
Signature _____ Name _____

Signature _____ Name _____

(A/c holder's Signature should be the same as in bank A/c. In case of joint account both the holder must sign the mandate form)



----- (Please Tear Here) -----





CHECKLIST OF DOCUMENTS TO BE SUBMITTED ALONG WITH THE FORM

A. Proof of Identity (POI): -List of documents admissible as Proof of Identity:

- PAN card with photograph/Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license. Important: Copy of PAN card is mandatory. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public
- Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

B. Proof of Address (POA): -List of documents admissible as Proof of Address:

(*Documents having an expiry date should be valid on the date of submission.)

- Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

C. ADDITIONAL DOCUMENTS in case of trading in derivatives segments - illustrative list:

- Copy of ITR Acknowledgement Copy of Annual Accounts Net worth certificate
- In case of salary income - Salary Slip, Copy of Form 16 Bank account statement for last 6 months Copy of demat account holding statement.
- Any other relevant documents substantiating ownership of assets. Self declaration with relevant supporting documents.

*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

D. BANK PROOF

- Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

E. DEMAT ACCOUNT PROOF

- Demat master or recent holding statement issued by DP bearing name of the client.

F. SPECIFIC INSTRUCTIONS FOR HUF

- The Depository Account cannot be opened in joint names.
- The Depository account shall be opened in the name of Karta under HUF category, however PAN & Bank details of HUF to be mentioned
- Please submit duly signed declaration with the names and signatures of all the co-parceners on letter head of HUF as per format given on page no

G. SPECIFIC INSTRUCTIONS FOR PARTNERSHIP FIRM

- The depository account to be opened in the name of partner(s) under individual capacity in case of partnership firm, however PAN & Bank details of FIRM to be mentioned
- Please provide a clear photocopy of the PAN Card of the Partner(s) in whose names depository account is to be opened.
- Please provide a certified true copy of the Partnership deed.
- Please submit duly signed declaration with the names and signatures of all partners on letter head of Partnership Firm as per format given on Page no.

H. SPECIFIC INSTRUCTIONS FOR CORPORATE

- Copy of the balance sheets for the last 2 financial years (to be submitted every year).
- Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).
- Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.
- Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.
- Copies of the Memorandum and Articles of Association and certificate of incorporation.
- Copy of the Board Resolution for investment in securities market.
- Authorised signatories list with specimen signatures.

Please provide an initial cheque in favour of "RR Equity Brokers Pvt. Ltd." towards accounts opening charges, platform charges, subscription amount & margin amount whichever applicable

- Note : 1. Complete document to be signed by person himself/herself not to be signed by her/his attorney / authorised person. 2. Trading in currency derivatives allowed only to resident clients.
3. All supporting documents should be Self-Attested by client. 4. Please strike off the boxes or space, which are not applicable.

FOR OFFICE USE ONLY

Branch Code										
Depository	<input type="checkbox"/> Normal		<input type="checkbox"/> Bandhan							
Client Code Allotted	Equity		Depository							
Initial Cheque Details										
Cheque No.		Dated	dd / mm / yyyy			Amount				
Drawn on										
	Name		Employee / Introducer Code			Signature				
Introducer										
RM										
Dealer										



Delhi / NCR Branches

Head Office	: 011-23508751/752/756,47, MM Road, Rani Jhansi Marg, Jhandewalan, New Delhi-110055
Jhandewalan	: 011-23636363/62,47, MM Road, Rani Jhansi Marg, Jhandewalan, New Delhi-110055
Noida	: 0120-4601230,P-5, UGF, Ocean Plaza, Sector-18, Noida-201301
Connaught Place	: 011-23353768,N-24 Middle Circle Connaught Place-110001
Ghaziabad	: 0120-2823939,114,Satyam Ansal Complex RDC Raj Nagar Gaziabad-201002
Faridabad	: 0129-2427361/367,55 1st Floor, Near Flyover Neelam Chowk, NIIT, Faridabad-121001
Preet Vihar	: 011-42421238/49504400,106 Pankaj Chambers, Preet Vihar Community Center Delhi-110092
Janak Puri	: 011-25617654/41589708,111, Jyotishkar,8 Distt. Center, Janakpuri, New Delhi-110058
Rajendra Place	: 011-25764872/49503300,118 Gagandeep Building 1st Floor Rajendra Place, New Delhi-110008
Pitam Pura	: 011-27311419,Shop No. 24, FD Market, Nr. Madhuban Chowk, Pitam Pura, Delhi-110034
Vasant Kunj	: 26891262/26134767,105, Anchal Plaza, Plot no. 7, Sec-8, Nelsol Mondela Road, Vasantkunj, New Delhi-110070
ITO	: 011-41509018/49505500,105 Pratap Bhawan, Bahadur Shah Zafar Marg, New Delhi-110002

Regional Branches

Chandigarh	: 0172-2624896/4796,SCO 222-223, Ground Floor, Sector 34-A, Chandigarh-160034
Jaipur	: 0141-4023328/3235456/5113317,7 Katewa Bhawan Opp Ganpati Plaza, M.I. Road Jaipur-302001
Ahmedabad	: 079-26404241/26467260, 401, Abhijeet Building, Mithakhali Six Road, Navrangpura, Ahmedabad - 380009
Bangalore	: 080-42477112/113/114,S 111, Manipal Centre, 47 Deckinson Road, Bangalore-560042
Vadodara	: 0265-2353195/3095,222, Siddharth Complex, 2nd Floor RC Dutt Road, Alkapuri, Vadodara-390007
Dehradun	: 0135-3258181/2740154,56 Rajpur Road Opp. Madhuban Dehradun-248001
Lucknow	: 0522-4057620/12,G-32, Shriram Tower,13-A, Ashok Marg, Lucknow-226001
Mumbai	: 022-22886627/28,133A, Mittal Towers,A Wing, 13th Floor, Nariman Point, Mumbai-400021
Mumbai-Fort	: 022-40544201/22642688,Room No. 18,First Floor, 105, Apollo Street, Opp.Bharat House, Mumbai Samachar Marg, Fort Mumbai-400023
Kolkata	: 033-40174802/22802963,704, Krishna Building, 224 AJC Bose Road, Beckbagan more, Kolkata-700017
Chennai	: 044-42077370/371, 3rd Floor, Precision Plaza, New # 397, Teynampet, Anna Salai Chennai-600018